Introducing PHA:
Produce Handling Assurance
We’re a global organization with a crucial objective:

SAFE, SUSTAINABLE AGRICULTURE WORLDWIDE.

We set voluntary standards for the certification of agricultural products around the globe – and more and more producers, suppliers and buyers are harmonizing their certification standards to match.
1. PHA Introduction & Overview
2. GFSI Recognition
3. Benefits
4. Applicability
5. Scope
6. Cost
7. Standard Requirements
Produce Handling Assurance (PHA) Overview

New in 2021:

PHA is a GFSI Recognized Post-Harvest Facility Food Safety Certification

• Available as a **stand-alone** post-harvest facility certification

  OR

• Can be **combined** with either GLOBALG.A.P. field certification:
  • Integrated Farm Assurance (IFA)
  • Harmonized Produce Safety Standard (HPSS)
  • Used by multi-site operations
  • Used by stand-alone packing houses, cold storages and more

All field production and post-harvest (pre-process) activities can be covered by GLOBALG.A.P. - Reduce audit redundancy and cost!
Why Create PHA?

“Designed by industry – for industry”

• Direct response to industry requests: GLOBALG.A.P. requested by supply chain members to offer certification at level of GFSI Scope BIII
  ✓ To include HACCP
  ✓ To cover more GMPs than current Integrated Farm Assurance Fruit & Vegetable (IFA FV)

• Framework of PHA consists of United Fresh Produce Harmonized GAPs Initiative post-harvest standard
  ✓ Adapted for FSMA: Produce Safety Rule, Preventive Controls
  ✓ Adapted for GFSI v2020
GFSI Recognition & Buyer Acceptance

• GFSI recognition received May 2021
  - Scope BIII*: “Pre-Process Handling of Plant Products”
    *(Formerly GFSI Scope D)*

• Accepted by buyers and retailers globally who seek GFSI recognized certification for post-harvest handling

• As a relatively new standard, we are educating the market on the many benefits of PHA

• Questions welcome to: standard_support@globalgap.org
Why Choose PHA?

- Reduce audit redundancy
- Reduce certification cost
- Independent third-party verification of safe and traceable handling practices
- Reduce exposure to food safety and product safety reputational risks
- Demonstrate commitment to FSMA compliance
- Simplify audit and certification systems while retaining integrity
Who Can Apply for PHA?

**Pre-process activities**

- Cooling
- Packing
- Repacking
- Storage/distribution

**Geographic Availability**

- Open-shed operations: Globally
- Fully enclosed operations: Globally, except Europe & Russia

- The operation/company that is legally responsible for packing, handling, or holding of crops applies for certification to PHA.

- PHA covers all fruit and vegetables, combinable crops that are listed on the GLOBALG.A.P. Product List, as well as hop pre-process production.
Certification Options

All sites must be audited every year - no “group” certification

- One legal entity, one site
- One legal entity: multiple sites
  - Each site must be separately registered and audited.
  - Only the legal entity is listed on the main certificate, each site is listed on the certificate annex.
- Multiple legal entities under one umbrella operation: multiple sites
  - Each entity will be independently certified and audited.

A site is defined as a location where products are handled. This may be a different address from the operation and may have multiple facilities.
## PHA Certification Scopes

<table>
<thead>
<tr>
<th>Scope</th>
<th>Activities Included (non-exhaustive)</th>
<th>Examples</th>
</tr>
</thead>
</table>
| Packing house        | • Cleaning, rinsing, fluming, washing, sorting, grading, packing, drenching, waxing and drying, re-packing, staging and storing.  
                        • Labeling and loading of whole unprocessed fruits and vegetables, nuts, for retail sale or further processing.  
                        • Includes all fruit and vegetable varieties and nuts | • Washing, waxing, and packing of apples  
                        • Not included: Slicing apples |
| Pre-processing       | • Removing foliage, husks, roots, or stems, e.g., trimming, threshing, or natural drying of fruit, vegetables, and hulling or shelling of nuts.  
                        • Excludes processes that alter the natural state of the product, such as quick freeze or drying via dehydrator. | • Dehydrating grapes to produce raisins and packaging raisins  
                        • Shelling walnuts  
                        • Washing, trimming and bundling of asparagus |
| Cooling/Cold Storage | • Cooling and hydrocooling                                                                             |                                                                          |
| Storage/Distribution | • Storage, staging, loading, labeling                                                                    |                                                                          |
## Applicability of PHA

<table>
<thead>
<tr>
<th>Covered under PHA</th>
<th>Not Covered under PHA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-process production such as:</td>
<td>Processing, or activities that significantly alter or transform the product from its harvested state, such as:</td>
</tr>
<tr>
<td>• Cleaning</td>
<td>• Addition of any ingredients</td>
</tr>
<tr>
<td>• Cooling</td>
<td>• Cooking</td>
</tr>
<tr>
<td>• Cold Storage</td>
<td>• Cutting</td>
</tr>
<tr>
<td>• Drenching</td>
<td>• Dehydrator drying</td>
</tr>
<tr>
<td>• Drying (natural, not dehydrator)</td>
<td>• Dicing</td>
</tr>
<tr>
<td>• Fluming</td>
<td>• Freezing</td>
</tr>
<tr>
<td>• Grading</td>
<td>• Juicing</td>
</tr>
<tr>
<td>• Hulling</td>
<td>• Milling</td>
</tr>
<tr>
<td>• Hydrocooling</td>
<td>• Mixed or bagged salads (including leafy vegetables)</td>
</tr>
<tr>
<td>• Labeling</td>
<td>• Mixing</td>
</tr>
<tr>
<td>• Packing</td>
<td>• Modified atmosphere packing</td>
</tr>
<tr>
<td>• Re-packing</td>
<td>• Pasteurization</td>
</tr>
<tr>
<td>• Rinsing</td>
<td>• Peeling</td>
</tr>
<tr>
<td>• Shelling</td>
<td>• Pre-packaged RTE foods</td>
</tr>
<tr>
<td>• Sorting</td>
<td>• Pressing</td>
</tr>
<tr>
<td>• Staging</td>
<td>• Quick Freeze (IQF)</td>
</tr>
<tr>
<td>• Storage</td>
<td>• Roasting</td>
</tr>
<tr>
<td>• Storing</td>
<td>• Salting</td>
</tr>
<tr>
<td>• Threshing</td>
<td>• Shredding</td>
</tr>
<tr>
<td>• Trimming (removing foliage, husks, roots or stems)</td>
<td>• Slicing</td>
</tr>
<tr>
<td>• Washing</td>
<td>• Vacuum packing</td>
</tr>
<tr>
<td>• Waxing</td>
<td></td>
</tr>
</tbody>
</table>
**PHA Audit Options**

- **Stand Alone**
- **Combine with GLOBALG.A.P. farm audit for complete certification option for a producer with on-farm packing or other post-harvest activities.**
  - Combine with Integrated Farm Assurance (IFA) or Harmonized Produce Safety Standard (HPSS, in USA).
  - If combined with GLOBALG.A.P. farm audit, sections of the farm audit checklist covered by PHA are N/A, ensuring no redundancy.
GLOBALG.A.P. Fees

- Certificate License Fee: €125 ($125 in USA & Canada)
- Registration Fee (per site): €75 ($75 in USA & Canada)

Certification Body Fees: Vary

- Audit Fee
- Administration Fee
• Sets current good manufacturing practices, hazard analysis and preventive controls, traceability and segregation, and assesses overall food safety management system practices.

• Includes supplier management, management of food safety related incidents, and additional requirements for the site, personnel, and production practices.

• Structure reflects the best practices and recognized measures described in the Codex Alimentarius Principles of HACCP.
Legislation Considerations

If legislation is more demanding, it overrides GLOBALG.A.P. PHA Standard.

If no legislation or it is less strict, GLOBALG.A.P. PHA Standard provides minimum acceptable level of compliance.
PHA and FSMA

- PHA incorporates FSMA requirements, as appropriate
  - Produce Safety Rule
  - Preventive Controls for Human Food Rule

- PHA audit reports and certificates can be provided to importers, retailers, and other value-chain participants as evidence of an operation’s efforts toward FSMA implementation

- PHA audits help operations in identifying FSMA requirements that must be addressed at the post-harvest level

A PHA certificate is not an assurance or guarantee of FSMA compliance, as legal compliance can only be determined by a regulatory authority, such as the USDA FDA.
How is PHA Different Than IFA?

PHA goes above and beyond IFA in the following ways:

- Directly includes hazard analysis and critical control points, if applicable, including flow diagram and HACCP team
- Includes allergen training, along with the risk assessment
- Includes customer requirements and specifications
- Includes supplier approval, now included in IFA v5.4-GFS
- Expands the foreign materials category by addressing physical and chemical hazards in detail
- Requires food safety PPE to be stored appropriately, and designated storage for worker belongings
- Has a higher level of detail for restroom and sanitary facilities
- Introduces non-retaliatory food safety violations requirement
- Ensures suitable design, construction, and layout of facilities, buildings, operations and equipment
- Provides robust details for properly maintaining equipment including coolers, ventilation, lighting, and other sources of potential contamination
- Provides details for the maintenance of grounds program
- Includes details for preventive maintenance of equipment, vehicles, and procedures for temporary repairs
- Requires more details to be provided for post-harvest water delivery systems, not only final rinse water
- Assigns more responsibility to the operations regarding water treatments for re-used water
- Explicit requirement for maintenance of sewage disposal systems
- Requires more details for cleaning procedures and frequency, as well as records requirements
- Requires proper tool identification
- Pre-operational checks are mandatory
- More details for microbiological testing are provided, including an annex to support operations to make decisions about environmental monitoring
- More specific criteria regarding food contact surfaces
- Robust pest control requirements including spacing and location and verification of records
- Includes additional requirements specific to storage including cold and iced storage
- Adds specificity to calibrations, and incorporates foreign material devices
PHAG Normative Documents

- **CHECKLIST:** Excel file used to complete the internal & certification audit.

- **CPCC’s:** The **Control Points and Compliance Criteria** list all points covered by the standard and give additional guidelines for fulfilling the requirements.

- **GR’s:** The **General Regulations** define how the certification process works.

All available on GLOBALG.A.P. website!
PHA Standard Topics

- **Food Safety Management:**
  - policy, responsibilities, plan, review, internal audit
- **HACCP:**
  - training, team, risk assessment
- **Specifications:**
  - labeling, product integrity
- **Supplier Approval:**
  - incoming goods, packaging and subcontracted or outsourced activities
- **Chain of Custody:**
  - for those IFA producers that wish to use the new GGN logo on packaging!
- **Traceability and Incidents**
- **Hygiene**

- **Facility & Equipment**
  - construction, design
- **Water Management**
- **Cleaning and Sanitation:**
  - food contact surfaces, chemicals and sanitizers, storage of chemicals, cleaning tools
- **Microbiological Testing:**
  - risk-based, sampling, records, test & hold, lab accreditations, test results, action plan
- **Pest Control and Waste Management**
- **Foreign Materials**
- **Equipment Calibration**
- **Cooling, Storage & Transportation**
## Certification Compliance Requirements

- **Major Musts:** 100% Compliance (102 Control Points)
- **Minor Musts:** 95% Compliance (38 Control Points)

<table>
<thead>
<tr>
<th>Control Point</th>
<th>Compliance Criteria</th>
<th>Level</th>
<th>Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td>AF 4.5.2</td>
<td>Does regular two-way communication take place between management and workers on issues related to workers’ health, safety and welfare? Is there evidence of actions taken from such communication?</td>
<td>Minor Must</td>
<td></td>
</tr>
<tr>
<td>AF 4.5.3</td>
<td>Do workers have access to clean food storage areas, designated rest areas, hand-washing facilities, and drinking water?</td>
<td>Major Must</td>
<td></td>
</tr>
<tr>
<td>AF 4.5.4</td>
<td>Are on-site living quarters habitable and have the basic services and facilities?</td>
<td>Major Must</td>
<td></td>
</tr>
</tbody>
</table>
PHA General Regulations (GRs) mostly the same as for IFA except:

Auditor Training:
- Auditors to have 5 years experience instead of 4, with more flexibility in education to be more food-production focused rather than in-field requirements.
- Additional GMP specific training required.
- FSMA training required where applicable to the operation.

Unannounced Audits:
- Unannounced audits count as the operation’s annual recertification audit and are not in addition to an announced annual audit.
- Shorter window for unannounced audits so that the audit takes place during the normal certification cycle.
- Allowance for the operation to indicate up to fifteen dates that they will not accept an unannounced inspection, such as holidays or other events.
Summary

PHA + GLOBALG.A.P. Farm Audit =
Complete certification from farm to packhouse, reducing audit redundancy & certification cost.

Ready to take the next step to get certified to PHA?
1. Contact a Certification Body offering PHA
2. Discuss with your buyers
3. Review the normative documents (available online)

PHA is globally recognized, independent, third-party verification of safe and traceable handling practices
Thank you!

Questions about the PHA Standard? standard_support@globalgap.org

Other Questions? Contact your local Key Account Manager

www.globalgap.org/uk_en/for-producers/globalg.a.p./produce-handling-assurance-pha/

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